

**CARR & FERRELL LLP****ATTORNEYS AT LAW**

2200 GENG ROAD • PALO ALTO, CALIFORNIA 94303  
TELEPHONE (650) 812-3400 • FACSIMILE (650) 812-3444

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PTO/SB/21 (09-04)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

7

Application Number 10/621,726

Filing Date July 17, 2003

First Named Inventor Johnson

Art Unit 3629

Examiner Name Nguyen

Attorney Docket Number PA2454US

**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
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Total page number does NOT include fax cover sheet.

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name	Carr & Ferrell LLP		
Signature	<i>Stanely J. Pawlik</i>		
Printed name	Stanely J. Pawlik		
Date	January 19, 2005	Reg. No.	47,850

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I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature	<i>Stanely J. Pawlik</i>		
Typed or printed name	Stanely J. Pawlik	Date	January 19, 2005

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Johnson et al.  
APPLICATION NO.: 10/621,726  
FILING DATE: July 17, 2003.  
TITLE: System and Method for Optimizing Sourcing Opportunity  
Utilization Policies  
EXAMINER: Nguyen  
ART UNIT: 3629  
ATTY.DKT.NO.: PA2454US

CERTIFICATE OF FACSIMILE

I hereby certify that this correspondence is being faxed to the U.S. Patent Office's Centralized Facsimile Number at 1.703.872.9306 on January 19, 2005.



Stanley J. Pawlik (Reg. No. 47,850)

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INITIAL INFORMATION DISCLOSURE STATEMENT  
Under 37 C.F.R. §§ 1.56, and 1.97-1.98

SIR:

Pursuant to the provisions of 37 C.F.R. §§ 1.56 and 1.97-98 of the Rules of Practice in Patent Cases, enclosed herewith is form PTO-SB-08 listing several references.

A copy of each patent reference is no longer submitted pursuant to the OG Notice of August 5, 2003. All non-patent references not provided in this statement are

{00155348v2}

cited in the parent application—U.S. patent application number 10/269,794—to which the present application makes a claim of priority under 35 U.S.C. § 120.

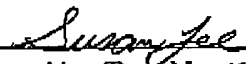
The Examiner is requested to make these references of official record in the application. The references cited may be material to examination of the application and are submitted in compliance with Applicant's duty of disclosure as defined by 37 C.F.R. § 1.56.

No fee is believed due at the present time.

Respectfully submitted,  
Blake Johnson et al.

January 18, 2005

By:

  
\_\_\_\_\_  
Susan Yee (Reg. No. 41,388)  
Carr & Ferrell LLP  
2200 Geng Road  
Palo Alto, CA 94303  
TEL: (650) 812-3400  
FAX: (650) 812-3444

{00135348v1}

PTQ/SB/08A (08-03)

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Substitute for form 1449/PTO

(Use as many sheets as necessary)

Sheet 1 of 2

**Complete if Known**

Application Number	10/621.726
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Filing Date	July 17, 2003
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First Named Inventor	Johnson
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Art Unit	3629
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Examiner Name	Nguyen
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Attorney Docket Number	PA2454US
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## U. S. PATENT DOCUMENTS

[illegible]

**FOREIGN PATENT DOCUMENTS**

[illegible]

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

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Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/621,726
				Filing Date	July 17, 2003
				First Named Inventor	Johnson
				Art Unit	3629
				Examiner Name	Nguyen
				Attorney Docket Number	PA2454US
Sheet	2	of	2		

[illegible]

Examiner Signature		Date Considered	
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**EXAMINER:** initial If reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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**Complete if Known**

(Use as many sheets as necessary)

Sheet	1	of	2
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Application Number	10/621,726
Filing Date	July 17, 2003
First Named Inventor	Johnson
Art Unit	3629
Examiner Name	Nguyen
Attorney Docket Number	PA2454US

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Examiner Signature	Date Considered
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Application Number	10/621,726
Filing Date	July 17, 2003
First Named Inventor	Johnson
Art Unit	3629
Examiner Name	Nguyen
Attorney Docket Number	PA2454US

Sheet

2

of

2

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Bradley University, Black-Scholes-Option Pricing Models, <a href="http://bradley.edu/~am/bsm/pg01.html">http://bradley.edu/~am/bsm/pg01.html</a>	

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SignatureDate  
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